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PTO/SB/21 (09-06)

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	09/724,075
	Filing Date	November 28, 2000
	First Named Inventor	Bridges, Timothy
	Art Unit	3692
	Examiner Name	Graham, Clement B.
Total Number of Pages in This Submission	Attorney Docket Number	G08.155

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to (TC)
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <b>Form PTO-1449, 2 cited foreign references, copy of Supplementary European Search Report, and Acknowledgement Postcard.</b>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Supplemental Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
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<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	Buckley, Maschoff & Talwalkar LLC		
Signature			
Printed name	Randolph P. Calhoun		
Date	April 24, 2007	Reg. No.	45,371

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
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Typed or printed name	Edith Martin	Date	April 24, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: BRIDGES et al.

Application No.: 09/724,075

Filing Date: November 28, 2000

For: DYNAMIC REALLOCATION  
HEDGE ACCOUNTING

) Confirmation No.: 6810

)

) Group Art Unit: 3692

)

) Examiner: Clement B. Graham

)

) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

)

) Docket No.: G08.155

)

) **PTO Customer Number 28062**

) Buckley, Maschoff & Talwalkar LLC

) 50 Locust Avenue

) New Canaan, CT 06840

)

CERTIFICATE OF MAILING UNDER 37 CFR 1.8

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Dated: April 24, 2007

By: 

Edith Martin

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:



under 37 CFR 1.97(b);

(within 3 months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)



under 37 CFR 1.97(c) together with either a:



Statement under 37 CFR 1.97(e): That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement, or

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- ☐ \$ \_ fee under 37 CFR 17(p); or  
(after 37 CFR 1.97(b) time period, but before final action or notice of allowance,  
whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
- ☐ Statement under 37 CFR 1.97(e): That each item of information contained in the  
information disclosure statement was first cited in any communication from a  
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months prior to the filing of the information disclosure statement,
- ☐ Petition under 37 CFR 1.97(d)(2)(ii), and
- ☐ \$ \_ petition fee under 37 CFR 17(i).  
(after 37 CFR 1.97(c) time period, but before payment of issue fee)

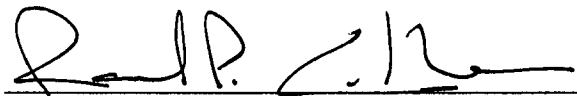
Applicants submit herewith patents, publications or other information of which they are aware  
that they believe may be material to the examination of this application, and in respect of which, there  
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The filing of this information disclosure statement shall not be construed as a representation that  
a thorough search has been made, an admission that the information cited is, or is considered to be,  
material to patentability, or that no other material information exists. Nor shall the filing of this  
information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98.  
The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-  
identified application and are made of record to assist the Patent and Trademark Office in its  
examination of this application. The Examiner is respectfully requested to fully consider the items listed  
on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

The items listed herein were cited in a 22 February 2007 Supplementary European Search Report  
in a counterpart European application. A copy of the Supplementary European Search Report is also  
enclosed.

Respectfully submitted,



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April 24, 2007  
Date

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Substitute for form 1449A/PTO  <b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>			
				Application Number		09/724,075	
				Filing Date		November 28, 2000	
				First Named Inventor		BRIDGES, Tim	
				Group Art Unit		3692	
				Examiner Name		Clement B. Graham	
Sheet	2	of	2	Docket Number		G08.155	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"Supplementary European Search Report", dated 22 February 2007 for EP 01 99 8881, 2pgs.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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